

PATENT

(Practitioner's Docket No. IN- 5562)

10/088376

JO rec'd PCT/PTO 11 MAR 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ines MANGELS, Karl-Heinz JOSTEN,  
Udo NENNER, Egon WEGNER,  
Ekkehard SAPPER and Nicola ZARSE

Serial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/08503 filed 31 August 2000.

Filed: Monday, March 11, 2002

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: USE OF ASSOCIATIVE THICKENERS BASED ON POLYURETHANE AND/OR  
DIPROPYLENE GLYCOL MONOALKYL ETHERS IN COLOURED AND/OR DECORATIVE EFFECT  
MULTI-LAYERED LACQUERS

Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number

ET973 679 288US

Date of Deposit

March 11, 2002

I hereby certify that the following attached paper or fee

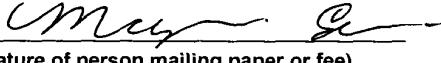
X
X
X
X

Information Disclosure Statement  
From PTO-1449  
Cited References  
International Search Report

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10  
on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

  
Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

10/088376

JOSTEN PCT/PTC 11 MAR 2002

PATENT

(Practitioner's Docket No. IN- 5562)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ines MANGELS, Karl-Heinz JOSTEN,  
Udo NENNER, Egon WEGNER,  
Ekkehard SAPPER and Nicola ZARSE

Serial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/08503 filed 31 August 2000.

Filed: Monday, March 11, 2002

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: USE OF ASSOCIATIVE THICKENERS BASED ON POLYURETHANE AND/OR DIPROPYLENE GLYCOL MONOALKYL ETHERS IN COLOURED AND/OR DECORATIVE EFFECT MULTI-LAYERED LACQUERS

Commissioner of Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

There are no foreign language documents listed on Form PTO-1449.

Information Disclosure Statement  
Page 2

The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.

English language abstract for the following non-English references are enclosed.

ENGLISH ABSTRACT FOR EP 0302240
SECTION Ch. WEEK 199418, DERWENT PUBLICATION Ltd., IONDON, GB; CLASS A14, AN
1994-148117 XP002156545

Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith: 6,001,915 IS THE ENGLISH EQUIVALENT OF DE 4437535; USN 108/513,925 IS THE ENGLISH EQUIVALENT OF WO94/22968.

Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); OR

10/088376

1088376 1 MAR 2002

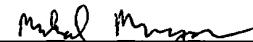
Information Disclosure Statement  
Page 3

- That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
  - Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
  - That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
  - Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

Reg. No.: 42,906

  
SIGNATURE OF ATTORNEY

Michael F. Morgan

Type or print name of attorney

Tel. No.: ( 248 ) 948-2355

BASF Corporation  
26701 Telegraph Road  
P.O. Address

Southfield, Michigan 48034-2442

Customer No. 26922

10/088376

10 Rec'd PCT/PTO 11 MAR 2002

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5520

**LIST OF ART CITED BY APPLICANT**  
(Use sever of sheets if necessary)

In re Application of: MANGELS et al.

Serial No.: Herewith

Filed: Monday, March 11, 2002

**U.S. PATENT DOCUMENTS**

Examiner initial	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	5,955,063	9/21/99	Brody et al.	424	61	1/3/97
AB	5,612,408	3/18/97	König et al.	524	591	1/29/96
AC	6,001,915	12/14/99	Schwarze et al.	524	457	10/18/95
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						
AL						
AM						
AN						
AO						
AP						
AQ						
AR						
AS						
AT						
AU						
AV						
AW						
AX						
AY						

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5562

10/088376

LIST OF ART CITED BY CANT  
(Use sever of sheets if necessary)

In re Application of: MANGELS et al.

Rec'd PCT/PTO 11 MAR 2002

Serial No.: Herewith

Filed: Monday, March 11, 2002

## FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	EP 905 157 A1	23.09.98	EP	C08G	18/01	X	
	AB	EP 302 240 A1	04.07.88	EP	C09D	7/12		X
	AC	EP 038 127 A1	24.03.81	EP	B05D	7/26	X	
	AD	EP 249 201 A2	10.06.87	EP	C09D	3/58	X	
	AF	EP 276 501 A2	26.09.87	EP	C11D	1/42	X	
	AG	WO94/22968	13.10.94	WO	C09D	133/06		X
	AH	WO97/12945	10.04.97	WO	C09D	5/04	X	
	AI							
	AJ							
	AK							
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AQ	ENGLISH ABSTRACT FOR EP 0302240
AR	SECTION Ch. WEEK 199418, DERWENT PUBLICATION Ltd., LONDON, GB; CLASS A14, AN 1994-148117 XP002156545
AS	ENGLISH ABSTRACT ON FRONT PAGE OF THE INTERNATIONAL PUBLICATION FOR WO94/22968
AT	USSN 08/513,925, BASF Lacke + Farben AG, entitled "Nonaqueous coating and process for producing a two-coat finish, filed 9/28/95, pg. 1-22.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".